



**North Carolina Department of Health and Human Services
Division of Mental Health, Developmental Disabilities and Substance Abuse Services**

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Michael F. Easley, Governor
Carmen Hooker Odom, Secretary

Michael Moseley, Director

September 8, 2006

MEMORANDUM

TO: LME Directors

FROM: Mike Moseley

A handwritten signature in black ink, appearing to be "MM", written over the name "Mike Moseley".

RE: LME Complaint Reporting

The LME Complaint Reporting System documents have been modified based on input received from all stakeholders during the 45-day comment period for these materials. Only very minor changes were requested, which we believe is a testament to the thoughtful work of your staff who participated with us in designing this process. The modified reporting documents are attached.

As required by 10A NCAC 27G.0609, each LME must report to the Division of Mental Health, Developmental Disabilities and Substance Abuse Services (DMH/DD/SAS) all complaints made to the LME not less than quarterly. As previously announced each LME is required to begin collecting complaint data on September 1, 2006 and will subsequently submit quarterly complaint reports to the Division. The submission of the LME Complaint Report will be included in the FY 2007 Performance Agreement. Since the reporting of incidents and complaints is specified in 10A NCAC 27G.0609, expectations related to complaint reporting in the Performance Agreement are modeled after the expectations for the Incident Reporting System.

- **Attachment 1: Guidelines for the LME Complaint Reporting System:**

Attachment 1 is a guidance document that provides an overview of the Complaint Reporting System and the forms. Instructions regarding data collection, analysis and reporting are provided.

- **Attachment 2: Customer Service Collection Form:**

Attachment 2 is an optional data collection form. It can be modified by each LME to gather additional data specific to their LME.

- **Attachment 3: LME Quarterly Complaint Report:**

Attachment 3 is the LME Quarterly Complaint Report which is used to report aggregate data to DMH/DD/SAS. Data from this report will be used by DMH/DD/SAS to develop a quarterly report for statewide comparisons. This report contains information about the types of complaints, the actions taken by the LME and the outcomes of the complaints. Since some complaints result in provider monitoring, an investigation or a referral to a State agency such as the Division of Facility Services or



DMH/DD/SAS, a 4-month delay in reporting has been established to allow time for agencies to complete the necessary monitoring or investigation and obtain copies of relevant reports.

The LME Quarterly Complaint Report submitted to DMH/DD/SAS should also be shared with CFACs, Client Rights Committees and Governing Boards. Stakeholders can request additional LME specific data and help develop strategies for improvement based on identified patterns from the data. The LME can also share any information regarding patterns of complaints with providers in order to enhance services. Information regarding a specific provider will be shared during the resolution of the complaint (NC statutes and HIPAA laws on confidentiality must be followed).

- **Attachment 4: LME Complaint Report Instructions:**

Specific instructions regarding the completion of the LME Complaint Report are included in this attachment.

As previously stated, each LME will begin data collection on or before September 1, 2006. The first LME Complaint Report must be submitted to DMH/DD/SAS on or before February 20, 2007. This deadline reflects the aforementioned 4-month delay to allow for monitoring, investigations and/or referrals to other state agencies. This first report of September data will be used for baseline data and will not be indicated in the May 2007 Performance Contract Quarterly Report. Compliance with reporting requirements from the next quarter (October to December 2006) will be reported in the August 2007 Performance Contract Quarterly Report. Electronic submission of the reports to dmh.advocacy@ncmail.net is preferred but hard copies will be accepted by mailing them to the Customer Service and Community Rights Team, 3009 Mail Service Center, Raleigh, N.C. 27699-3009.

Any questions pertaining to this complaint reporting system should be directed to Glenda Stokes at (919) 715-3197 or via electronic mail at dmh.advocacy@ncmail.net.

Attachments

cc: Secretary Carmen Hooker Odom
Allen Dobson, MD
Executive Leadership Team
Management Leadership Team
State Facility Directors
Yvonne Copeland
Patrice Roesler
Kory Goldsmith
Debbie Crane
Chair, Coalition 2001
Chair, Commission for MH/DD/SAS

